JC960 U.S. PTO
11/28/00

11-29-00

A

JC796 U.S. PTO
09/723855
11/28/00

Certificate of Mailing By "U.S. Express Mail" Under 37 C.F.R. 1.10(c)

"EXPRESS MAIL" Mailing Label Number: EL573149457US Date of Deposit: 11/27/2000

I hereby certify that this paper and/or fee is being deposited with the United States Postal Service "EXPRESS MAIL POST OFFICE TO ADDRESSEE" service under 37 C.F.R. 1.10 on the date indicated above and is addressed to the Assistant Commissioner For Patents, Washington, DC 20231.

Name: Maritza Kidd

Signature

11/27/2000
Signature Date

Docket No. : DYNA-P005

APPLICATION TRANSMITTAL LETTER

Assistant Commissioner of Patents
United States Patent and Trademark Office
Washington, D.C. 20231
ATTN: BOX PATENT APPLICATION

Sir:

Transmitted herewith for filing is the patent application of
Inventor(s): **OLIVER, *et al.***
Entitled: **SYSTEM AND METHOD FOR ADAPTIVE TEXT RECOMMENDATION**

_30_ No. pages of specification, including title page, claims and abstract
_13_ No. sheets of __X__informal, _____formal drawings

Also enclosed are:

_X_ Executed Combined Declaration and Power of Attorney for Patent Application
_X_ An Original Executed Assignment of the Application
_X_ Form PTO-1595 (Recordation Cover Sheet for Assignment)
_X_ Verified Statement Claiming Small Entity Status with Cover Sheet
___ An Information Disclosure Statement (Form PTO-1449A and Form PTO-1449B)
___ A copy of References cited in Information Disclosure: _____ documents

FEES DUE

The fees due for filing the application pursuant to 37 C.F.R. 1.16 and for recording the Assignment, if any, are determined as follow:

CLAIMS					
	No. of Claims		Extra Claims	Rate	Fees
Basic Application Fee ($710 large entity; $355 small entity)					$ 355.00
Total Claims	24	Minus 20 =	4	X $18 = X $ 9 (small) =	36.00
Total Independent Claims	8	Minus 3 =	5	X $80 = X $40 (small) =	200.00
If Multiple Dependent Claims are presented, add $260.00 or $130.00(small)					
If Assignment enclosed, add Assignment Recording Fee $40.00					40.00
TOTAL APPLICATION FEE DUE					$ 631.00

PAYMENT OF FEES

The full fee due in connection with this communication is $ __631.00__

and is provided as follows:

_____ The Commissioner is hereby authorized to charge the fees associated with this communication or credit any overpayment to **Deposit Account No: 500482**. A duplicate copy of this authorization is enclosed.

__X__ A Check No. ___3533____ for the above specified full fee is enclosed. However, in case Applicant inadvertently miscalculated any required fee, the Commissioner is hereby authorized to charge the necessary additional amount associated with this communication or credit any overpayment to **Deposit Account No: 500482**. A duplicate copy of this authorization is enclosed.

This application is filed pursuant to 37 C.F.R. 1.53 in the name of the above-identified Inventor(s).

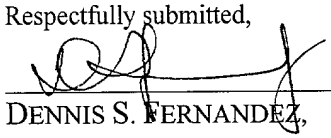
Please direct all correspondence concerning the above-identified application to the following address:

FERNANDEZ & ASSOCIATES, LLP
PATENT ATTORNEYS
PO BOX D
MENLO PARK, CA 94026-6204

(650) 325-4999
(650) 325-1203 : FAX
EMAIL: *iploft@iploft.com*

22877
PATENT TRADEMARK OFFICE

Respectfully submitted,



DENNIS S. FERNANDEZ,
REG. NO. 34,160

11/27/2000
Date

Please type a plus sign (+) inside this box

JC796 U.S. PTO
09/723855
11/28/00

The Assistant Commissioner of Patents
United States Patent and Trademark Office
Washington, D.C. 20231
ATTN: Box Patent Application

Re: U.S. Utility Patent Application
Appl. No. (Not yet assigned); Filed 11/27/2000
For: **SYSTEM AND METHOD FOR ADAPTIVE TEXT RECOMMENDATION**
Inventor(s): **OLIVER, *et al.***
Docket No.: **DYNA-P005**

Sir:
The following documents are forwarded herewith for action by the U.S. Patent and Trademark Office:

1. U.S. UTILITY APPLICATION
entitled: **SYSTEM AND METHOD FOR ADAPTIVE TEXT RECOMMENDATION**
having named inventor(s):
OLIVER, *et al.*
   a. a specification consisting:
      (i) 20 pages prior to the claims, including title page;
      (ii) 9 pages of claims;
      (iii) 1 page abstract;
   b. 13 sheets of **informal** drawings: (FIGs.1A, 1B, 2-9, 10A, 10B, 11-13);
2. An **original, executed** Combined Declaration and Power of Attorney by named inventors;
3. Form PTO-1082 (in duplicate);
4. Cover letter for Assignment (Form PTO-1595)
5. An original, executed Assignment to **DYNAPTICS CORPORATION**, executed by named inventors, recordation of which is hereby requested;
6. A return post card; and
7. Check No. 3533 for $ 631.00 to cover:

Patent application filing fee:	$ 355.00
Assignment Recordation fee:	$ 40.00
Excess claims fee:	$ 236.00

8. Verified Small Entity Status Statement with Cover Sheet

It is respectfully requested that the attached postcard be stamped with the filing date of the above documents and unofficial application number and returned to the addressee as soon as possible.

Respectfully submitted,

11/27/2000
Date

DENNIS S. FERNANDEZ
REG. NO. *34,160*

FERNANDEZ & ASSOCIATES, LLP
PATENT ATTORNEYS
PO BOX D
MENLO PARK, CA 94026-6204
(650) 325-4999
(650) 325-1203 : FAX
EMAIL: *iploft@iploft.com*

Docket No.: **DYNA-P005**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of :
Application No.: (Not yet assigned) Group No.: (Not yet assigned)
Filed: 11/27/2000 Examiner: (Not yet assigned)

Title: **SYSTEM AND METHOD FOR ADAPTIVE TEXT RECOMMENDATION**

Inventor(s): **OLIVER, *et al.***

Assistant Commissioner for Patents
Washington, D.C. 20231

SUBMISSION OF VERIFIED STATEMENT TO ESTABLISH SMALL ENTITY STATUS

The attached statement is being submitted to establish small entity status in this

_X_ Application
___ Patent

by the

___ Independent inventor(s) 37 CFR 1.9(c) and 1.27(b)
___ Non-inventor supporting claim by another 37 CFR 1.9(c) and 1.27(b)
_X_ Small Business Concern 37 CFR 1.9(d) and 1.27(c)
___ Nonprofit Organization 37 CFR 1.9(e) and 1.27(d)

Respectfully submitted,

DENNIS S. FERNANDEZ,
REG. NO. *34,160*

FERNANDEZ & ASSOCIATES, LLP
PATENT ATTORNEYS
PO BOX D
MENLO PARK, CA 94026-6204

(650) 325-4999
(650) 325-1203 : FAX
EMAIL: *iploft@iploft.com*

Attorney Docket No. DYNA-P005

Docket No.: **DYNA-P005**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No.: (Not yet assigned)
Filed on: 11/27/2000

Patent No.: (Not yet assigned)
Issued on: (Not yet assigned)

Title: **SYSTEM AND METHOD FOR ADAPTIVE TEXT RECOMMENDATION**
Inventor(s): **OLIVER, ET AL**

VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS

(37 CFR 1.9(f) and 1.27(c) -- SMALL BUSINESS CONCERN)

I hereby declare that I am

____ the owner of the small business concern identified below:

__X__ an official of the small business concern empowered to act on behalf of the concern identified below:

Name of Small Concern:
DYNAPTICS CORPORATION

Address of Small Concern:
Two North Second Street, Suite 400
San Jose, CA 95113

I hereby declare that the above identified small business concern qualifies as a small business concern, as provided in 37 CFR 1.9(d), for purpose of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons.

I hereby declare that the rights under contract or law have been conveyed to, and remain with, the concern identified above with regard to the invention described in

__X__ the specification filed herewith, with title and inventor(s) as listed above.
____ the application identified above.
____ the patent identified above.

If the rights held by the above identified concern are not exclusive, each individual, concern, or organization having rights in the invention is listed below and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c), it that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization having any rights in the invention in addition to the above identified concern is listed below:
Name _____
Address _____
____ Individual __X__ Small Business ____ Nonprofit Organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee

or any maintenance fee due after the date on which status as a small business entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true and further, that these statements were made with knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

George Roumeliotis
Print Name of Person Signing

Chief Technology Officer
Title of Person Signing

Dynaptics Corporation, , Two North Second Street, Suite 400, San Jose, CA 95113
Address of Person Signing

SIGNATURE G Roumeliotis Date 11/22/2000

PAGE 4 OF 5 PAGES

Application

For

United States Utility Patent

Title:

SYSTEM AND METHOD FOR ADAPTIVE TEXT RECOMMENDATION

Inventor(s):

Jonathan James Oliver, residing at 1123 Meredith Avenue, San Jose, CA 95125, a citizen of Australia;

Wray Lindsay Buntine, residing at 1126 Oxford Street, Berkeley, CA 94707, a citizen of the United States of America; and

George Roumeliotis, residing at 1048 Berkeley Avenue, Menlo Park, CA 94025, a citizen of Australia.

SYSTEM AND METHOD FOR ADAPTIVE TEXT RECOMMENDATION

BACKGROUND INFORMATION

Field Of Invention

Invention relates to a method and system for recommending relevant items to a user of an electronic network. More particularly, the present invention relates to a means of analyzing the text of documents of interest and recommending a set of documents with a high measure of statistical relevancy.

Description Of Related Art

Most personalization and web user analysis (also known as "clickstream") technologies work with the system making a record of select web pages that a user has viewed, typically in a web log. A web log entry records which users looked at which web pages in the site. A typical web log entry consist of two major pieces of information, namely, first, some form of user identifier such as an IP address, a cookie ID, or a session ID, and second, some form of page identifier such as a URL, file name, or product number. Additional information may be included such as the page the user came from to get to the page and the time when the user requested the page. The web log entry records are collected in a file system of a web server and analyzed using software to produce charts of page requests per day or most visited pages, etc. Such software typically relies

on simple aggregations and summarizations of page requests rather than any analysis of the internal page structure and content.

Other personalization software also relies on the concept of web logs. The dominant technology is collaborative filtering, which works by observing the pages of the web site a user requests, searching for other users that have made similar requests, and suggesting pages that these other users requested. For example, if a user requests pages 1 and 2, a collaborative filtering system would find others who did the same. If the other users on the average also requested pages 3 and 4, a collaborative system would offer pages 3 and 4 as a best recommendation. Other collaborative filtering systems use statistical techniques to perform frequency analysis and more sophisticated prediction techniques using methods such as neural networks. Examples of collaborative filtering systems include NetPerceptions, LikeMinds, and WiseWire. Such a system in action can be viewed at Amazon.com.

Other types of collaborative filtering systems allow users to rank their interest in a group of documents. User answers are collected to develop a user profile that is compared to other user profiles. The document viewed by others with the same profile is recommended to the user. This approach may use artificial intelligence techniques such as incremental learning methods to improve the recommendations based on user feedback. Systems using this approach include SiteHelper, Syskill & Ebert, Fab, Libra, and WebWatcher. However, collaborative filtering is ineffective to personalize documents with dynamic or unstructured content. For example, each auction in an auction web site or item offered in a swap web site is different and may have no logged

history of previous users to which collaborative filtering can be applied. Collaborative filtering is also not effective for infrequently viewed documents or offerings of interest to only a few site visitors.

Clearly, there is a need for a system that considers not only the identifiers of the pages the user viewed but also the words in the pages viewed in order to make more focused recommendations to the user. Broadening the concept of pages to documents in general, there is a need for a recommendation system that analyzes the words in the document a user has expressed interest in. Such a recommendation system should support options of residing in the same computer as the web site, or on a remote server, or on an end user's computer. Furthermore, the system should be able to access documents from external sources such as from other web sites throughout the Internet or from private networks. A flexible recommendation system should also support a scalable architecture of using a proprietary text search engine or leverage off the search engines of other web sites or generalized Internet-wide search engines.

SUMMARY OF INVENTION

Invention discloses methods and systems for adaptively selecting relevant documents to present to a requestor. A requestor device, either a client working on a PC, or a software program running on a server, automatically or manually invokes the adaptive text recommendation system (ATRS) and based on extracted keywords from the text of related documents, a set of relevant documents is presented to the requestor. The set of recommended documents is continually updated as more documents are added to

the set of related documents or interest set. ATRS adapts the choice of recommended documents based on new analysis of text contained in the interest set, categorizing the documents into clusters, extracting the keywords that capture the theme or concept of the documents in each cluster, and filtering the entire set of eligible documents in the application web site and or other web sites to compile the set of recommended documents with a high measure of statistical relevancy.

One embodiment is an application of ATRS in an e-commerce site, such as a seller of goods or services or an auction web site. A client logging onto an e-commerce site is greeted with a recommended set of relevant goods, services, or auction items by analyzing the text of the documents representing items previously bought, ordered, or bid on. As the client selects an item from the recommended set or an item on the web page, ATRS updates the documents in the interest set, categorizes the documents in the interest set into clusters, extracts keywords from the clusters, and filters the eligible set of documents at the web site to construct a recommended set. This recommended set of documents is rebuilt possibly every time the client makes a new selection or moves to a different web page.

The recommended set of documents may be presented as a panel or HTML fragment in a web page being viewed. The recommendations may be ordered for example by the statistical measure of relevancy or by popularity of the item and filtered based on information about the client.

In an alternate embodiment, ATRS may be invoked automatically by a software program to develop a recommended set for existing clients not currently logged on. The

recommendations may take the form of a notification of select clients for sales, special events, or promotions. In other alternate embodiments, the recommendations may take the form of a client alert or "push" technology data feed. Similarly, other applications of ATRS include notification of clients of upcoming television shows, entertainment, or job postings based on the analysis of the text of documents associated with these shows, entertainment or job openings in which the client has indicated previous interest.

Additional applications of ATRS include automatic classification of personal e-mail, and automatic routing of customer relations e-mail to representatives who previously successfully resolved similar types of e-mail. The recommended set may also consist of Internet bookmarks or subscriptions to publications for a "community of interest" group. Furthermore, the recommended set may be transmitted as a fax, converted to audio, video, or an alert on a pager or PDA and transmitted to the requestor.

The present invention can be applied to data in general, wherein a requestor device issues a request for recommended data comprising documents, audio files, video files or multimedia files and an adaptive data recommendation system would return a recommended set of such data.

BRIEF DESCRIPTION OF DRAWINGS

FIG. 1A-1B are an architectural diagram and flow diagram, respectively, illustrating an adaptive text recommendation system invoked by a requestor device, in one embodiment of the present invention.

FIG. 2 is an architectural diagram of the main components or modules of an adaptive text recommendation system in one embodiment of the present invention.

FIG. 3 is a flow diagram of the main components or modules of an adaptive text recommendation system in one embodiment of the present invention.

FIG. 4 is a flow diagram of the assembly processing of ATRS in one embodiment of the present invention.

FIG. 5 is an architectural diagram of the pre-processing of the interest set of ATRS in one embodiment of the present invention.

FIG. 6 is a flow diagram of the pre-processing of ATRS in one embodiment of the present invention.

FIG. 7 is an architectural diagram of the clustering process of ATRS in one embodiment of the present invention.

FIG. 8 is a flow diagram of the keyword extraction process of ATRS in one embodiment of the present invention.

FIG. 9 is a flow diagram of the recommendation processing of ATRS in one embodiment of the present invention.

FIG. 10A is an architectural diagram of ATRS operable in the application website whereas FIG 10B is an architectural diagram of ATRS operable in a distributed manner with segments running at the application website and at a remote site, according to one embodiment of the present invention.

FIG. 11 is an architectural diagram illustrating the deployment of multiple applications of ATRS in and outside the United States, according to one embodiment of the present invention.

FIG. 12 is an architectural diagram of an adaptive data recommendation system in an alternative embodiment of the present invention, illustrating the data requestor device invoking and receiving a set of recommended relevant data.

FIG. 13 is an architectural diagram illustrating the major input and output of an adaptive data recommendation system in an alternative embodiment of the present invention, illustrating the various types of data that are requested and returned to the requestor device.

DETAILED DESCRIPTION OF PREFERRED EMBODIMENT(S)

FIG. 1A shows how the requestor device **2** invokes either manually or automatically a request for a set of relevant documents to ATRS **4** which processes the request and obtains a set of relevant documents from a document source **6** and returns the set to requestor device **2**. FIG. 1B is a high level flow diagram of ATRS consisting of steps where ATRS is invoked manually or automatically by a requestor for a set of relevant documents **105** and ATRS returns a set of relevant documents **107**. A requestor may be a client or a software program. A requestor device may be a client personal computer.

FIG. 2 shows the major modules of one embodiment of the present invention. The major modules are: Assembly Module **10**, Pre-processing Module **30**, Clustering Module **40**, Keyword Extraction Module **50**, Filtration Module **60**, Recommendation Module **80**, and Presentation Module **90**.

The Assembly Module **10** assembles documents from multiple sources into an interest set. Documents in the interest set may include documents in a database considered of interest to the requestor, web site pages previously viewed by the requestor in the application web site or other web sites, documents selected by the requestor from a list obtained by a search in the application web site or by an Internet-wide search, e-mail sent by the requestor, documents transmitted from a remote source such as those maintained in remote servers or in other private network databases, and documents sent by fax, scanned or input into any type of computer and made available to the Assembly Module **10**. For example, in an auction site, the client, presented with a list of live auction items, clicks on several auction items that are of interest, then invokes ATRS to show a set of recommended auction items.

The Pre-processing Module **30** isolates the words in the interest set and removes words that are not useful for distinguishing one document from another document. Words removed are common words in the language and non-significant words to a specific application of ATRS.

The Clustering Module **40** groups the documents whose words have a high degree of similarity into clusters.

The Keyword Extraction Module **50** determines the keyword score for each word in a cluster and selects as keywords for the cluster words with the highest keyword score and that also appear in a minimum number of documents specified for the application.

The Filtration Module **60** uses application parameters for assembling documents considered eligible for recommendation. Eligible documents may include documents from enterprise databases, documents from private network databases, documents from the application web site, and documents from public networks, such as the Internet. Furthermore, these documents may cover subjects in many fields including but not limited to finance, law, medicine, business, environment, education, science, and venture capital. Application parameters may include age of documents and or client data that specify inclusion or exclusion of certain documents.

The Recommendation Module **80** calculates the relevance score for eligible documents to a cluster and ranks the eligible documents by relevance score and other application criteria. Top scoring documents are further filtered by criteria specific to the client.

The Presentation Module **90** personalizes the presentation format of the recommendations for the client. Examples of formats are e-mail, greetings to a site visitor, HTML fragment or a list of Internet sites. Any special sorting or additional filtration for the client is applied. The recommendations are converted to the desired medium, such as voicemail, fax hardcopy, file transfer transmission, or audio/video alert.

FIG. 3 is a flow chart of one embodiment of the present invention starting with the assembly of documents from multiple sources into an interest set **110**; pre-processing of

the documents to remove "stop" words **112**; grouping the documents in the interest set into clusters **114**; extraction of keywords contained in documents included in the clusters **116**; filtration of documents eligible to be considered for recommendation for each cluster **118**; construction of a recommendation set of documents per cluster **120**; and presentation of the recommendations **122**.

FIG. 4 is a flow chart of the Assembly Module **10** illustrating the process involved in assembling all documents which comprise the interest set. Documents previously recorded for the client **130** may include previous purchases in a e-commerce site, bids in an auction site, or web pages visited by client which contain tags that automatically trigger communication to a server of the page or data involved. Documents may include those corresponding to the navigation path of the client in the website **132**. The client may have selected documents from a list of web pages **134** as a result of a site search or an Internet-wide search. Other documents may include e-mails, faxed document, scanned documents or any other form of document input associated with the client **136**. Alternatively, documents included may be those transmitted through a network for the client **138** where the storage of documents is done remotely. All input documents are assembled into an interest set **140**.

FIG. 5 is an architectural chart illustrating the use of the assembled interest set **26** and the Stop Word Database **32** in the Pre-processing Module **30** to create the refined interest set of documents **34**. The Stop Word Database **32** comprises words that are not useful for distinguishing one document from another document in the interest set. If the application language is English, examples would include words such as 'and', 'the', and

'etc.' The Stop Word Database **32** also includes words that are common in the interest set as a result of the purpose, application or business conducted for the site. For example, on an auction site, each web page containing an item description might also contain the notice "Pay with your Visa card!" In this case, the words 'pay', 'visa', and 'card' would be included in the Stop Word Database **32**.

FIG. 6 is a flow chart illustrating the process performed in the Pre-processing Module **30** in one embodiment. The process includes isolating words in the documents of the interest set and converting the words into a common format **150,** such as converting the words to lower case. A word is an alphanumeric string surrounded by white space or punctuation marks. Next, if a word is a common word of the language **152** the word is removed **158.** If a word is a non-significant word specific to the site and the application **154**, it is also removed **158**. Otherwise, the word is retained in the document **156.** In one embodiment, the common words of the language and the non-significant words specific to the application are maintained in the Stop Word Database **32.**

FIG. 7 is an architectural chart illustrating the use of the refined interest set **34** and processing in the Clustering Module **40** to group the documents into clusters **42, 44,** and **46**. Clustering is the process of grouping together documents in the interest set whose words have a high degree of similarity. In one embodiment of the present invention, the similarity of two documents D_1 and D_2 is denoted by similarity(D_1, D_2). If D_1 does not contain any words in common with D_2, then:

similarity(D_1, D_2) = 0.

If the two documents have words in common, then:

$$\text{similarity}(D_1, D_2) = \frac{\sum_{w \in D_1 \cap D_2} \text{count}(w, D_1)\,\text{count}(w, D_2)}{\left[\sum_{w \in D_1 \cap D_2} \text{count}(w, D_1)^2\right]^{1/2} \left[\sum_{w \in D_1 \cap D_2} \text{count}(w, D_2)^2\right]^{1/2}},$$

where count(w, D) denotes the number of occurrences of the word w in the document D, and $w \in D_1 \cap D_2$ denotes a word that appears in both D_1 and D_2. Many other definitions of similarity between two documents are possible.

The clustering criteria may vary depending on the application of ATRS **4**. An advantageous implementation involves arranging the documents from the interest set so as to maximize the cluster score, wherein the cluster score of a cluster containing only one document is zero and the cluster score for a cluster containing more than one document is the average similarity score between the documents in the cluster.

The clustering algorithm can be any one of well-known clustering algorithms that can be applied to maximize the clustering criterion, such as K-Means, Single-Pass, or Buckshot, which are incorporated by reference.

FIG. 8 is a flow diagram of the keyword extraction processing of ATRS **4** in one embodiment of the present invention. For each word w in a cluster C, calculate the frequency of the word w in the interest set, Frequency(w); and calculate the frequency of the word w in cluster C, Frequency(w, C) **180.** Calculate the keyword score for word w in the cluster C **182**, using the equation:

Keyword score(w, C) = log Frequency(w, C) – log Frequency(w).

Select keywords for cluster C based on application criteria **184;** for example, select keywords that have high scores and appear in several documents. Upon processing all clusters **186**, the system proceeds to the balance of processing. In an alternative embodiment of the present invention, the keywords describing the theme or concept in a cluster do not necessarily appear in the text of any document, but instead summarize the theme or concept determined, for example, by a method for natural language understanding.

FIG. 9 is a flow diagram of the recommendation processing of ATRS **4** in one embodiment of the present invention. For each eligible document D, count the number of times the keyword $w \in \text{keywords}(C)$ appears **190**. Calculate the relevance score of document D to cluster C using the equation:

$$\text{relevance(D, C)} = \frac{\sum_{w \in keywords(C)} count(w, D)}{\left[\sum_{w \in keywords(C)} count(w, D)^2\right]^{1/2}},$$

where $w \in \text{keywords(C)}$ denotes one of the keywords of cluster C.

Rank eligible documents by relevance score and other application criteria **194**. Retain top scoring documents and apply other filtration criteria specific to this client **196.** For example, the client may only want documents created within the last seven days.

At the completion of all clusters **198**, the system proceeds to the balance of processing.

The presentation of recommendations may be through a set ordered by relevance score, set ordered by popularity of document, a greeting to a site visitor, a notification of a sale, event, or promotion, a client alert, for example, a sound indicating presence of a new

document, or a new article obtained from a newswire as in "push" data feed delivery methods, notification of TV shows and entertainment based on processing the descriptions of previously viewed TV programs or purchased tickets for entertainment shows. Hard copy formats in the form of postcards, letters, or fliers may also be the medium of presentation.

Another embodiment of the present invention is conversion of the recommendation set of documents into files for faxing to the client, conversion to voice and presenting it as a voicemail, a pager or audio or video alert for the client. Advantageously, such recommendations can be sent through a network and stored for later retrieval. In another embodiment, the system may serve a "community of interest" like a wine connoisseur's Internet list or chat room where the recommendation may consist of the popular magazines or web pages viewed by experts of the community of interest. Alternatively, the recommendation may be presented to the client or requestor as a set of Internet bookmarks.

There are several alternative embodiments of the present invention. In a document classification application, customer e-mails sent to a company's customer service representative (CSR) department can be routed to the CSR that had successfully resolved similar e-mails containing the same issues. A similar application is the automatic classification of personal e-mail wherein ATRS processes e-mails read and or responded to by the client, applying the clustering/ keyword extraction/ filtering/ recommending steps to present the recommended e-mails to the client, treating the rest as miscellaneous. The client may further specify presentation of the top ten e-mails only, a

very useful feature for e-mail access on wireless devices. Other classification applications are automatic routing of job postings to a job category, and automatic classification of classified advertisements or offers for sale or offers to swap items or services.

Other applications of ATRS involve research either in the Internet or in enterprise databases. For example, a client may be interested in "banking". Instead of sifting through multitudes of documents that contains "banking", the client may "mark" several documents and invoke ATRS to present a set of recommended documents with a high measure of statistical relevance. This research may be invoked on a periodic basis wherein ATRS presents the recommended set of documents to the client in the form of a notification or to clients in the "community of interest" application.

In another application of ATRS, online auction participants who have lost an auction are sent e-mail or other notification containing a list of auctions that are similar to the one they lost. This list is generated based on textual analysis of the description of the lost auction.

Another application of ATRS involves analyzing the text of news stories or other content being viewed by a site visitor and displaying a list of products whose descriptions contain similar themes or concepts. For example, a visitor to a web site featuring stories about pop stars might read an article about Madonna and be presented a list of Madonna-related products such as musical recordings, clothing, etc. The presentation of the recommended products might be done immediately as the site visitor is browsing, or upon returning to the web site, or in an e-mail, or other delayed form of notification.

Similarly, ATRS can work in conjunction with a regular search engine to narrow the results to a more precise recommended set of documents. In one embodiment, ATRS **4** is a front-end system of a network search engine. ATRS **4** analyzes the text of an interest set of documents, groups the interest set of documents into clusters; extracts keywords from the text of the documents grouped into the clusters; and communicates the selected keywords of the clusters to the search engine. The search engine uses these keywords to search the network for documents that matches the keywords and other filtering criteria that may be set up for the application.

FIG. 10A is an architectural diagrams where the requestor device **2** may be a PC used by a client to access a website and ATRS **4** is manually or automatically invoked upon accessing the site. The document source **6** may be at the website or may be the entire Internet. FIG. 10B shows an alternative embodiment of the present invention wherein the requestor device **2** is essentially unchanged but the application website **300** for ATRS **4** only hosts the ATRS shell **300** or application proxy and the ATRS modules **305** are operable in a remote site. Document source **6** may be operable in a distributed manner at the same or different remote site as the ATRS modules **305.** Alternatively, document source **6** may be the entire Internet.

FIG. 11 is an architectural diagram illustrating the deployment of multiple applications of ATRS **4** in and outside the United States, according to the present invention. Requestor device 1 **310**, is in the United States, and Requestor device 2 **312**, is located outside of the United States. Requestor device 1 **310** and Reguestor device 2 **312**, are coupled to ATRS 1 **314** in the United States and or ATRS 2 **316** located outside of the

United States. Document Source 1 **318** is in the United States whereas Document Source 2 **320** is outside the United States and both are coupled to and provide eligible documents for ATRS 1 **314** and or ATRS 2 **316**.

FIG. 12 is an architectural diagram of an adaptive data recommendation system in an alternative embodiment of the present invention, illustrating the data requestor device **330** invoking and receiving a set of recommended relevant data from an adaptive data recommendation system **332** using data source **334**.

FIG. 13 is an architectural diagram illustrating the major input and output of an adaptive data recommendation system in an alternative embodiment of the present invention, illustrating the various types of data that are requested and returned to the requestor device. A document interest set **340**, audio interest set **342**, a video interest set **344**, and or a multimedia interest set **346** are accessed by an adaptive data recommendation system **332**, utilizing a data source **334**, a client database **348**, and application parameters **358** to create a recommended data set comprising document recommended set **350**, audio recommended set **352**, video recommended set **354**, and multimedia recommended set **356**. As an example, based on the description of various artists and their singing styles, a requestor device may specify certain singers with the type of songs and lyrics desired, an adaptive data recommendation system would cluster the songs and artists, extract keywords of the lyrics or key notes or note patterns in the artists' songs, and search sites containing libraries of artists and songs, and select for recommendation the downloadable songs relevant to requestor's criteria. The

recommendation could be streaming audio or streaming video that can be played at the requestor device.

One implementation of the present invention is on a Linux OS running Apache web server with a MySQL database. However, a person knowledgeable in the art will readily recognize that the present invention can be implemented in different operating systems, different web servers with other types of data bases but not limited to Oracle and Informix.

A person knowledgeable in the art will readily recognize that the present invention can be implemented in a portable device comprising a controller; memory; storage; input accessories such a keyboard, pressure-sensitive pad, or voice recognition equipment; a display for presenting the recommended set; and communications equipment to wirelessly-connect the portable device to an information network. In one embodiment, the ATRS computer readable code can be loaded into the portable device by disk, tape, or a hardware plug-in, or downloaded from a site. In another embodiment, the logic and principles of the present invention can be designed and implemented in the circuitry of the portable device.

Foregoing described embodiments of the invention are provided as illustrations and descriptions. They are not intended to limit the invention to precise form described. In particular, it is contemplated that functional implementation of the invention described herein may be implemented equivalently in hardware, software, firmware, and/or other available functional components or building blocks.

Other variations and embodiments are possible in light of above teachings, and it is thus intended that the scope of invention not be limited by this Detailed Description, but rather by Claims following.

5

CLAIMS

What is claimed is:

1. A method for adaptive text recommendation, the method comprising:

receiving a query; and

adaptively changing the query result in response to the query.

2. The adaptive text recommendation method of Claim 1 wherein the changing step comprises clustering of an interest set of documents into one or more clusters; extracting keywords for the one or more clusters that represent the theme of the documents in the one or more clusters; filtering of an eligible set of documents to meet application criteria; and adaptively constructing a recommended set of documents for each cluster of the one or more clusters.

3. The adaptive text recommendation method of Claim 2 wherein the clustering step further comprises assembling the interest set of documents; pre-processing words of the interest set of documents; and grouping of documents from the interest set of documents into the clusters utilizing a clustering algorithm that maximizes the cluster score of the clusters.

4. The adaptive text recommendation method of Claim 3 wherein the assembling step comprises collecting documents previously viewed by a client; collecting e-mails

that elicited a response from the client; collecting documents describing items previously bought by the client; collecting documents describing items the client made a bid on; collecting documents associated with selections from a list of documents, the selections being made by the client; collecting pages of web sites wherein the client indicated interest; collecting documents recorded for the client; and collecting documents associated with a client transmitted from a remote source.

5. The adaptive text recommendation method of Claim 3 wherein the pre-processing step comprises removing common words in the language used in the application; and removing words which are not significant for the application.

6. The adaptive text recommendation method of Claim 2 wherein the extracting keywords step utilizes a process that calculates the keyword score of the cluster and select keywords that maximizes the keyword score of the cluster.

7. The adaptive text recommendation method of Claim 2 wherein the eligible set of documents comprises documents from an application web site; documents from other web sites; documents from private databases; and documents selected from the Internet using a search process.

8. The adaptive text recommendation method of Claim 2 wherein the construction of the recommended set of documents further comprises calculating a

relevance score of each document in the eligible set of documents; selecting documents of the eligible set of documents with high relevance scores; and applying other selection criteria comprising popularity of the document in the eligible set of documents and client preference for the document in the eligible set of documents.

9. The adaptive text recommendation method of Claim 2 further comprising presenting the recommended set of documents using a presentation technique that comprises sending an e-mail, displaying a greeting, displaying an HTML fragment, sending a fax, sending a voicemail, sending a video alert, sending an audio alert, and transmitting a file representing the recommended set of documents.

10. The adaptive text recommendation method of Claim 1 wherein the received query comprises a request from a requestor device enabled by an action of the client and a software request.

11. The adaptive text recommendation method of Claim 10 wherein the action of the client enabling the query request comprises logging onto a web site that automatically generates the query; manually requesting the query; and making a selection at the web site that generates the query.

12. A method of adaptive offer recommendation, the method comprising: receiving a query for an offer; and

adaptively changing the recommended set of offers in response to the query.

13. The adaptive offer recommendation method of Claim 12 wherein the changing step comprises clustering of an interest set of offer descriptions into clusters; extracting keywords for the clusters, the keywords representing the theme of the offer descriptions of the clusters; and filtering of an eligible set of offer descriptions to meet an application criteria; and adaptively constructing a recommended set of offer descriptions for the clusters.

14. The adaptive offer recommendation method of Claim 13 wherein the eligible set of offer descriptions comprises offer descriptions of auction items, items for sale, items for swap, job openings, items to buy, and services for sale.

15. The adaptive offer recommendation method of Claim 13 wherein the construction of the recommended set of offer descriptions further comprises calculating a relevance score of each offer description in the eligible set of offer descriptions; selecting a plurality of offer descriptions of the eligible set of offer descriptions with high relevance scores; and applying other selection criteria comprising popularity of the offer description in the eligible set of offer descriptions and client preference for the offer description in the eligible set of offer descriptions.

16. An adaptive text recommendation system comprising:

a query receiving processor for receiving a query;

a database for storing a plurality of document records including Internet document records, private document records, and other public network document records;

a query response processor for sending a response to the query; and

an adaptive text processor, coupled to the query receiving processor, the database; and the query response processor, for receiving the query from the query receiving processor, analyzing the text of an interest set of document records from the database, grouping the interest set of document records into clusters; extracting keywords from the text of the document records grouped into the clusters, filtering the eligible set of document records from the database to meet an application criteria; and adaptively constructing the recommended set of document records for the clusters, and passing the recommended set of document records to the query response processor.

17. The adaptive text recommendation system of Claim 16 wherein the eligible set of document records comprises document records from the application web site; document records from other web sites; document records from private databases; and document records selected from the Internet using a search process.

18. The adaptive text recommendation system of Claim 16 further comprising a database update processor for updating the interest set of documents with new documents.

19. The adaptive text recommendation system of Claim 16 wherein the adaptive text processor is operable in a distributed manner at a remote location.

20. A computer storage medium storing the computer readable code for causing a computer system to execute the steps of an adaptive text recommendation system, the steps comprising:

clustering of an interest set of documents into clusters;

extracting keywords for the clusters, the keywords representing the theme or concept of the documents of the clusters;

filtering of an eligible set of documents to meet application criteria;

adaptively constructing the recommended set of documents for the clusters; and

presenting the recommended set of documents.

21. An adaptive data recommendation system comprising:

a query receiving processor for receiving and processing a query;

a database for storing a plurality of data description records including Internet data description records, private data description records, and other public network data description records;

a query response processor for sending a response to the query; and

an adaptive data processor, coupled to the query receiving processor, the database; and query response processor, for receiving the query from the query receiving processor, analyzing the text of an interest set of data description records from the database,

grouping the interest set of data description records into clusters; extracting keywords from the text of the data description records grouped into the clusters, filtering the eligible set of data description records from the database to meet an application criteria; and adaptively constructing the recommended set of data description records for the clusters, and passing the recommended set of data description records to the query response processor.

22. An adaptive text recommendation apparatus comprising:

a computer comprising input means for entering a query and display means for presenting a recommended set of documents; and

communications means for wirelessly coupling the computer to an information network, the information network containing at least an interest set of documents and an eligible set of documents;

wherein the query entered through the input means of the computer enables the computer to wirelessly connect to the information network and to execute the steps of an adaptive text recommendation system, the steps comprising clustering of the interest set of documents into clusters; extracting keywords for the clusters, the keywords representing the theme or concept of the documents of the clusters; filtering of the eligible set of documents to meet an application criteria; constructing a recommended set of documents; and presenting the recommended set of documents using the display means of the computer.

23. A method for adaptively classifying documents, the method comprising:

clustering of an interest set of documents into clusters;

extracting keywords for the clusters that represent the theme of the documents of the clusters;

filtering of an eligible set of documents to meet application criteria;

constructing a recommended set of documents; and

presenting the recommended set of documents using a presentation technique that comprises sending an e-mail, displaying personal e-mail, displaying a greeting, displaying an HTML fragment, sending a fax, sending a voicemail, sending a video alert, sending an audio alert, and transmitting a file representing the recommended set of documents.

24. An adaptive document search system comprising:

a query receiving processor for receiving a search query;

a database for storing an interest set of document records comprising Internet document records, private document records, and other public network document records;

a search engine, for searching the database for documents matching a search criteria;

a search query response processor for sending a response to the search query; and

an adaptive text processor, coupled to the query receiving processor, the database, the search engine, and the query response processor;

wherein the adaptive text processor, upon receiving the search query from the query receiving processor, analyzes the text of the interest set of document records from

the database, groups the interest set of document records into clusters; extracts keywords from the text of the document records grouped into the clusters, and communicates the extracted keywords to the search engine; and

wherein the search engine searches the database for documents matching the search criteria comprising the communicated keywords from the adaptive text processor.

ABSTRACT

Network system provides a real-time adaptive recommendation set of documents with a high statistical measure of relevancy to the requestor device. The recommendation set is optimized based on analyzing the text of documents of the interest set, categorizing these documents into clusters, extracting keywords representing the themes or concepts of documents in the clusters, and filtering a population of eligible documents accessible to the system utilizing site and or Internet-wide search engines. The system is either automatically or manually invoked and it develops and presents the recommendation set in real-time; for example, upon logging onto a web site or as the client views additional documents or pages of a website. The recommendation set may be presented as a greeting, notification, alert, HTML fragment, fax, voicemail, or automatic classification or routing of customer e-mail, personal e-mail, job postings, and offers for sale or exchange.

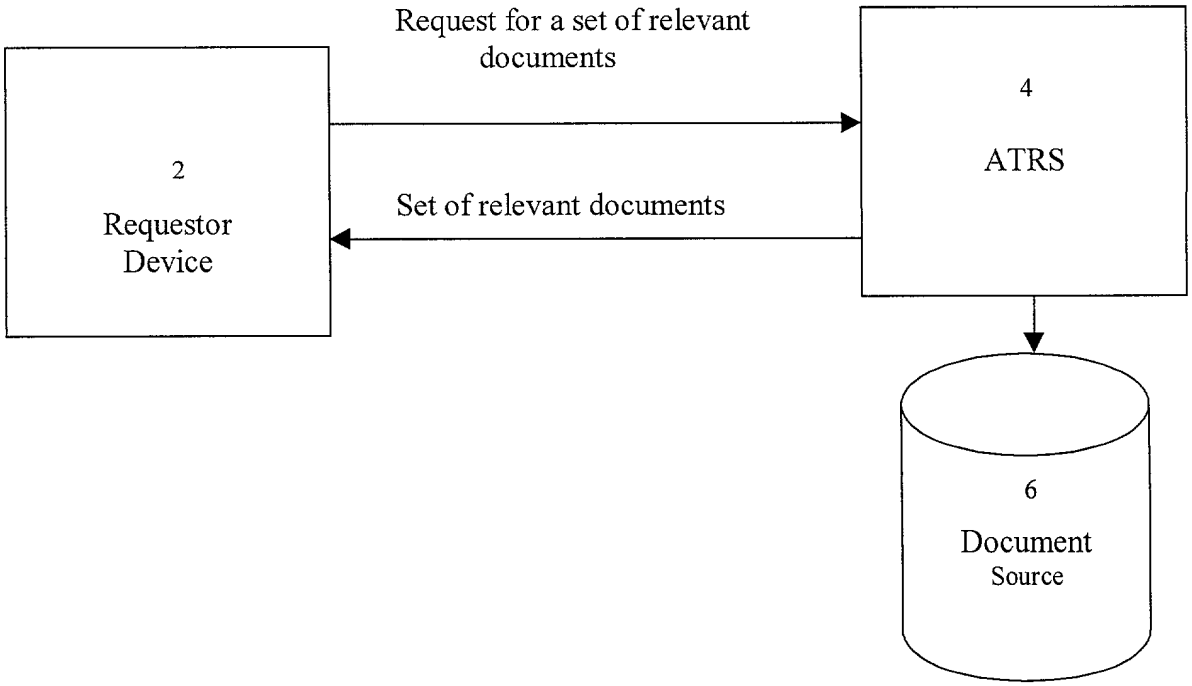


FIGURE 1A

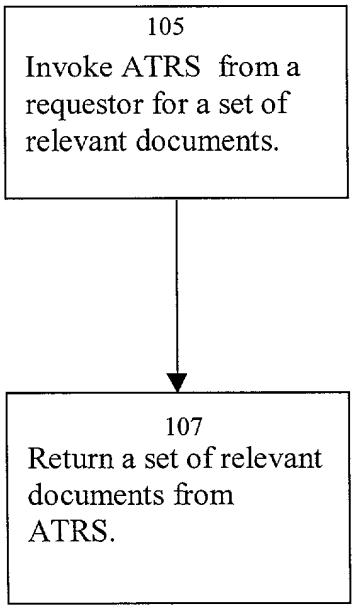


FIGURE 1B

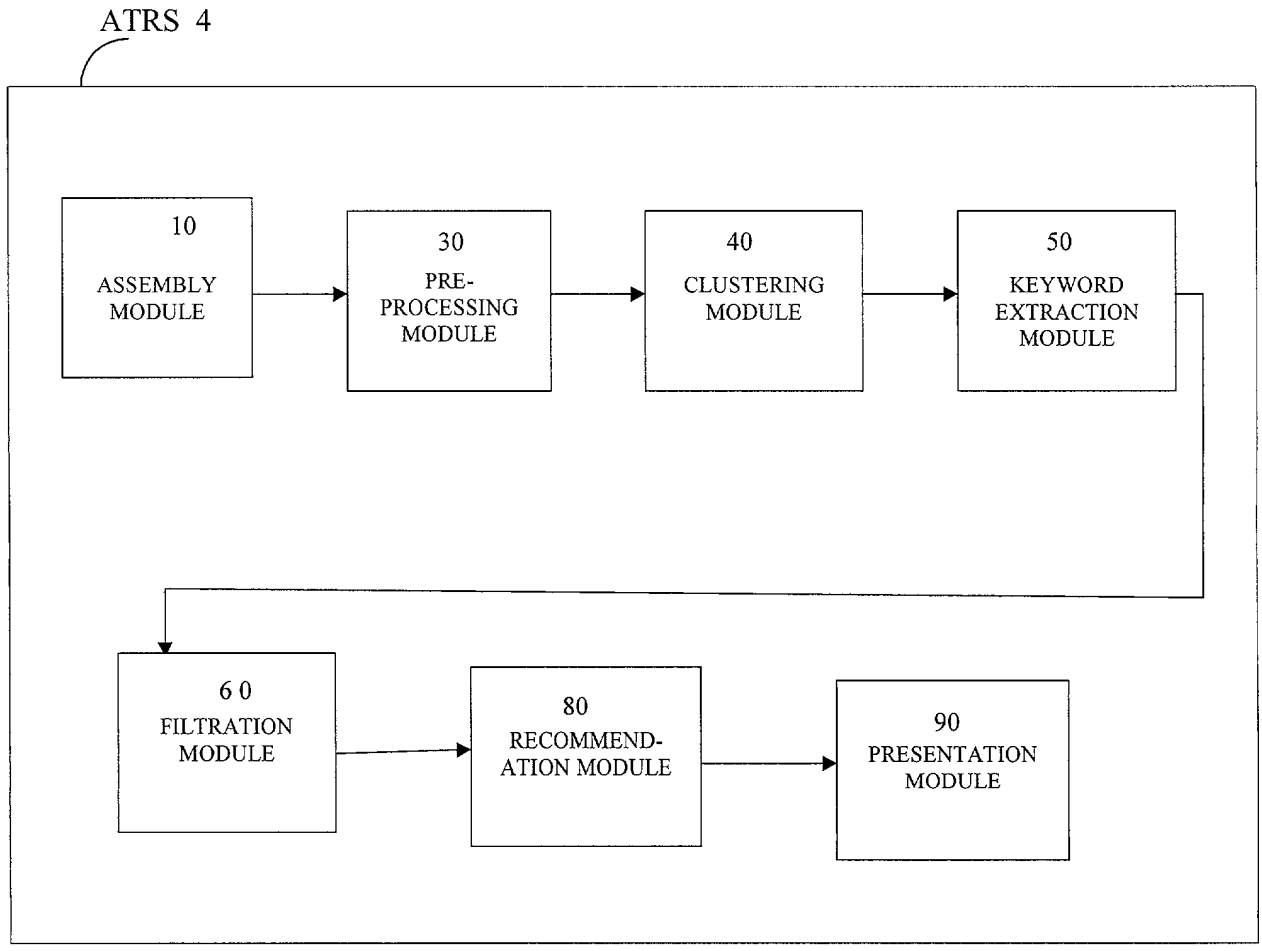

ATRS 4
10
ASSEMBLY MODULE
30
PRE-PROCESSING MODULE
40
CLUSTERING MODULE
50
KEYWORD EXTRACTION MODULE
60
FILTRATION MODULE
80
RECOMMEND-ATION MODULE
90
PRESENTATION MODULE

FIGURE 2

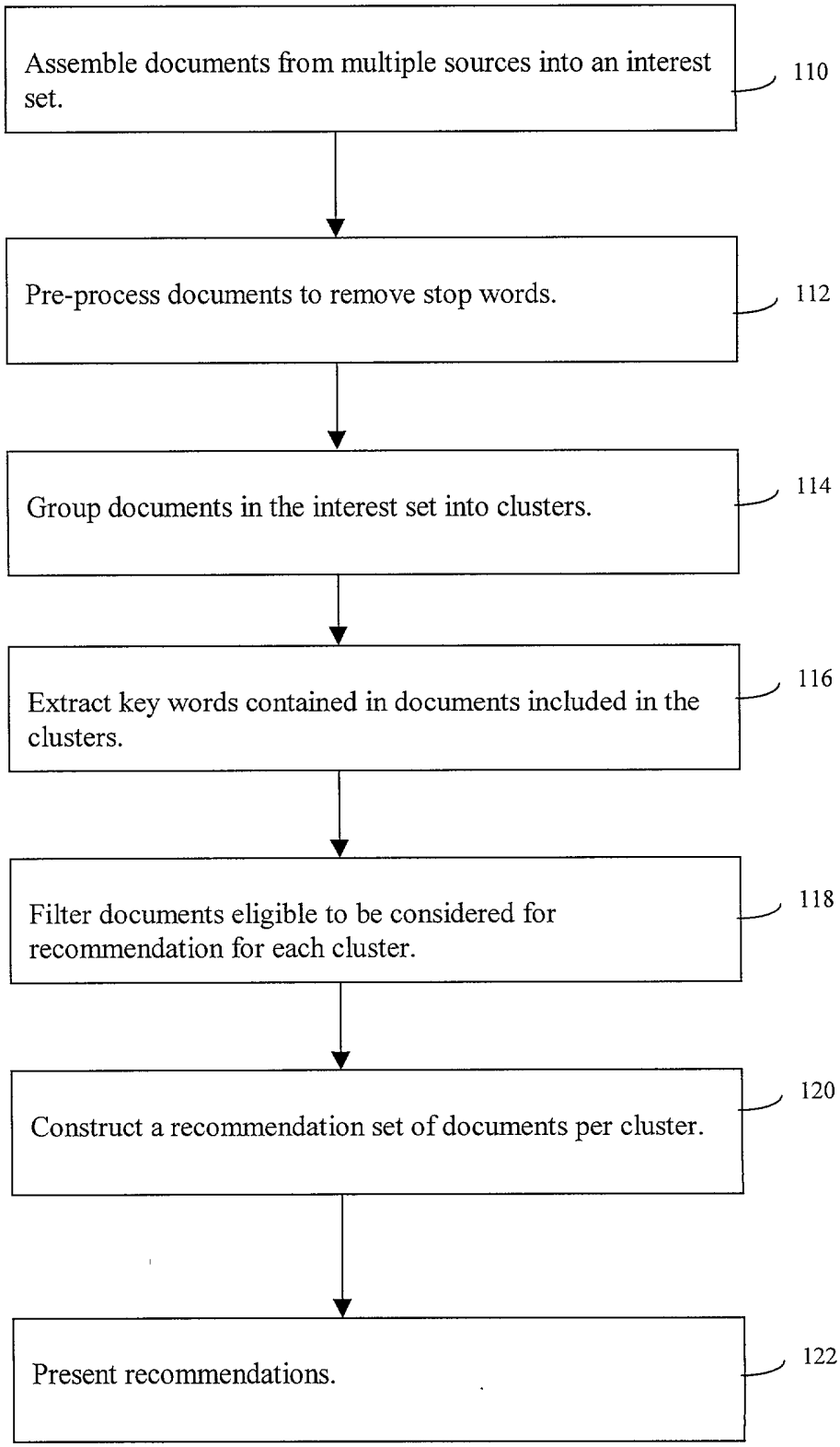

Assemble documents from multiple sources into an interest set.
110
Pre-process documents to remove stop words.
112
Group documents in the interest set into clusters.
114
Extract key words contained in documents included in the clusters.
116
Filter documents eligible to be considered for recommendation for each cluster.
118
Construct a recommendation set of documents per cluster.
120
Present recommendations.
122

FIGURE 3

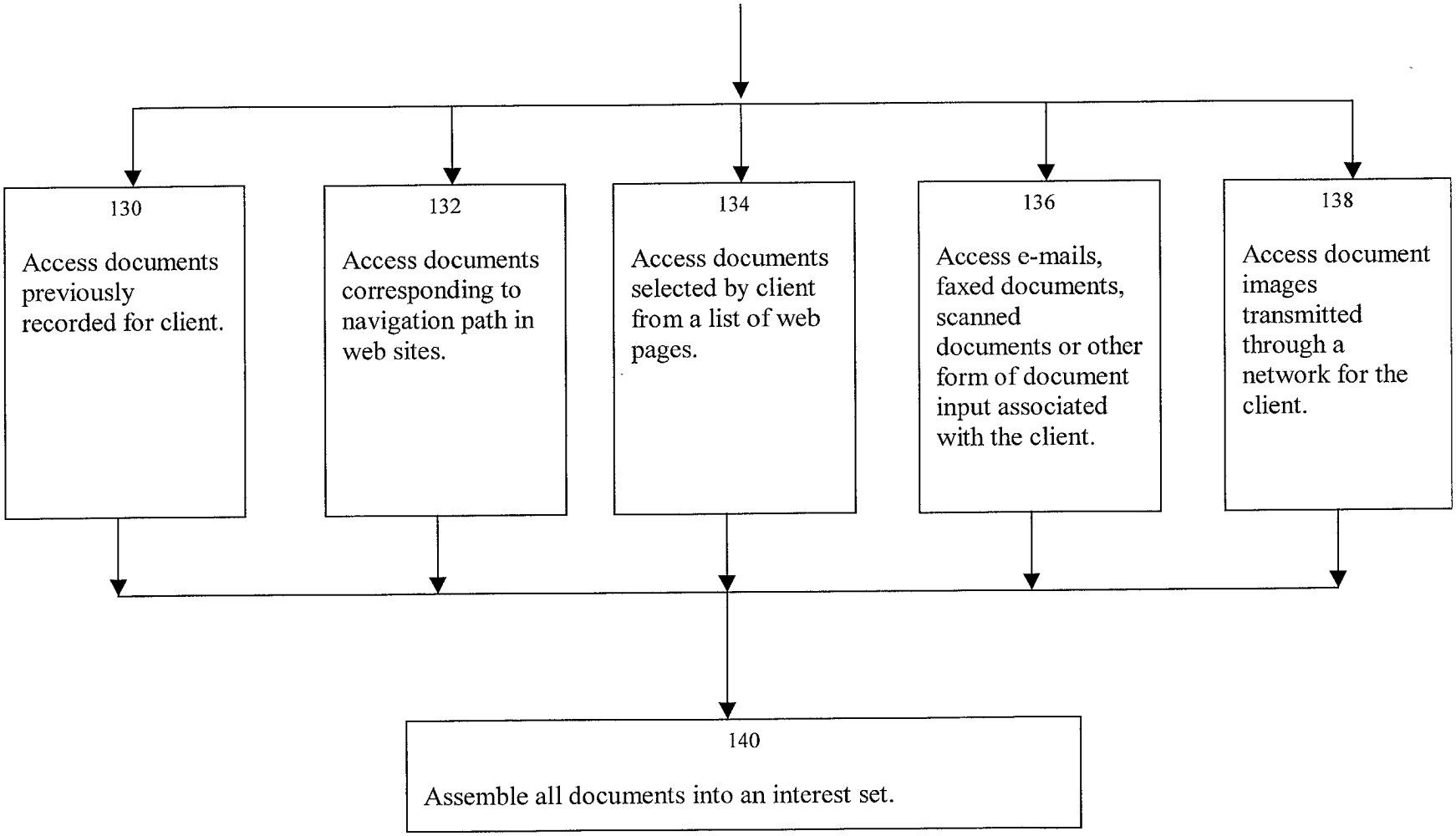

130
Access documents previously recorded for client.
132
Access documents corresponding to navigation path in web sites.
134
Access documents selected by client from a list of web pages.
136
Access e-mails, faxed documents, scanned documents or other form of document input associated with the client.
138
Access document images transmitted through a network for the client.
140
Assemble all documents into an interest set.

FIGURE 4

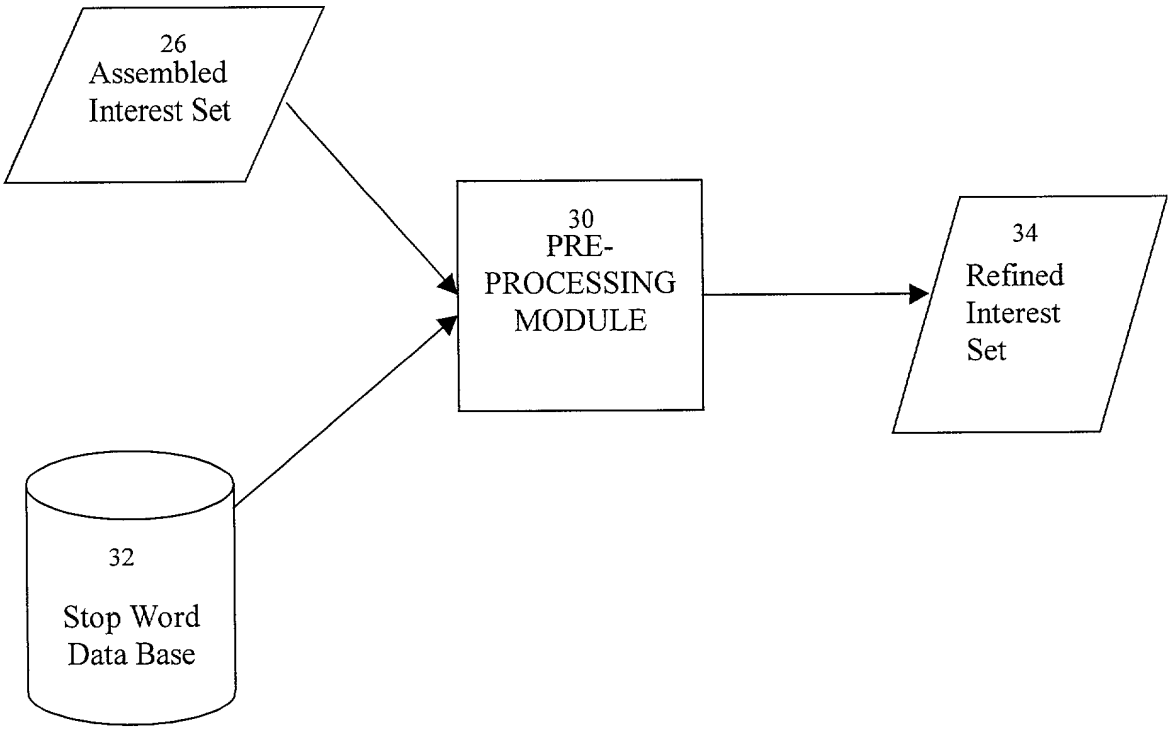

26
Assembled
Interest Set
30
PRE-
PROCESSING
MODULE
34
Refined
Interest
Set
32
Stop Word
Data Base

FIGURE 5

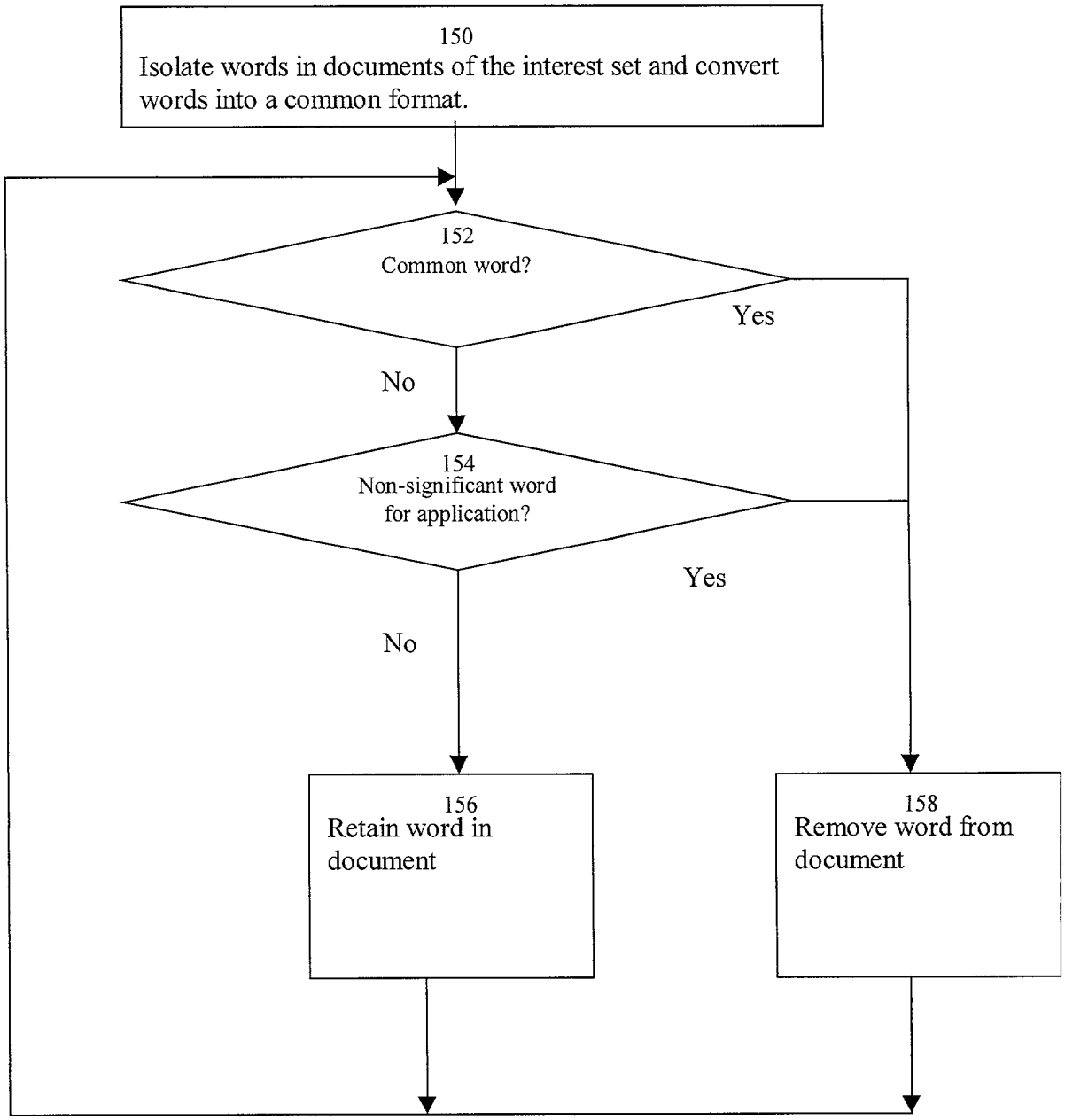

150
Isolate words in documents of the interest set and convert words into a common format.
152
Common word?
Yes
No
154
Non-significant word for application?
Yes
No
156
Retain word in document
158
Remove word from document

FIGURE 6

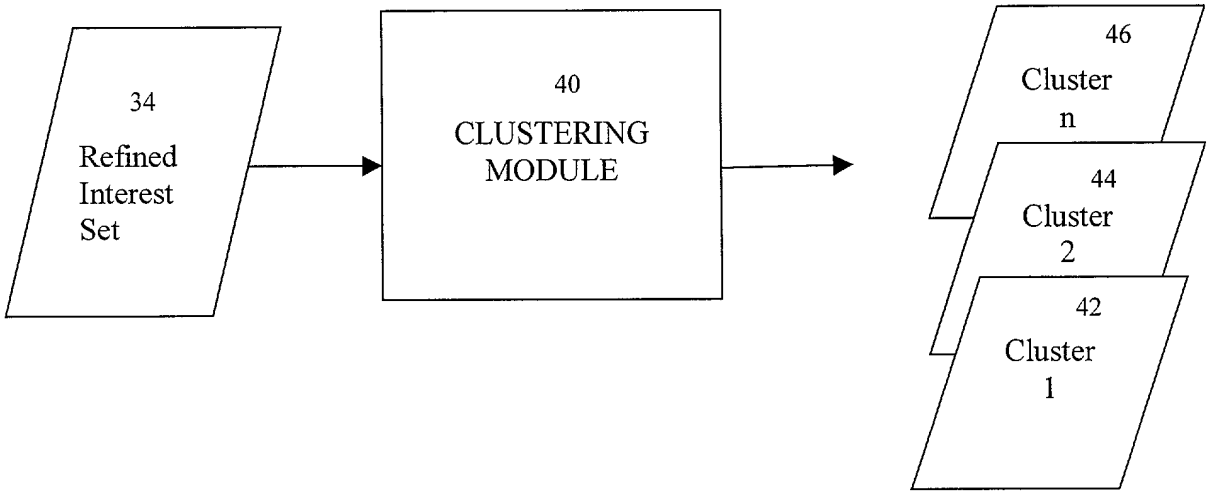

34
Refined
Interest
Set
40
CLUSTERING
MODULE
46
Cluster
n
44
Cluster
2
42
Cluster
1

FIGURE 7

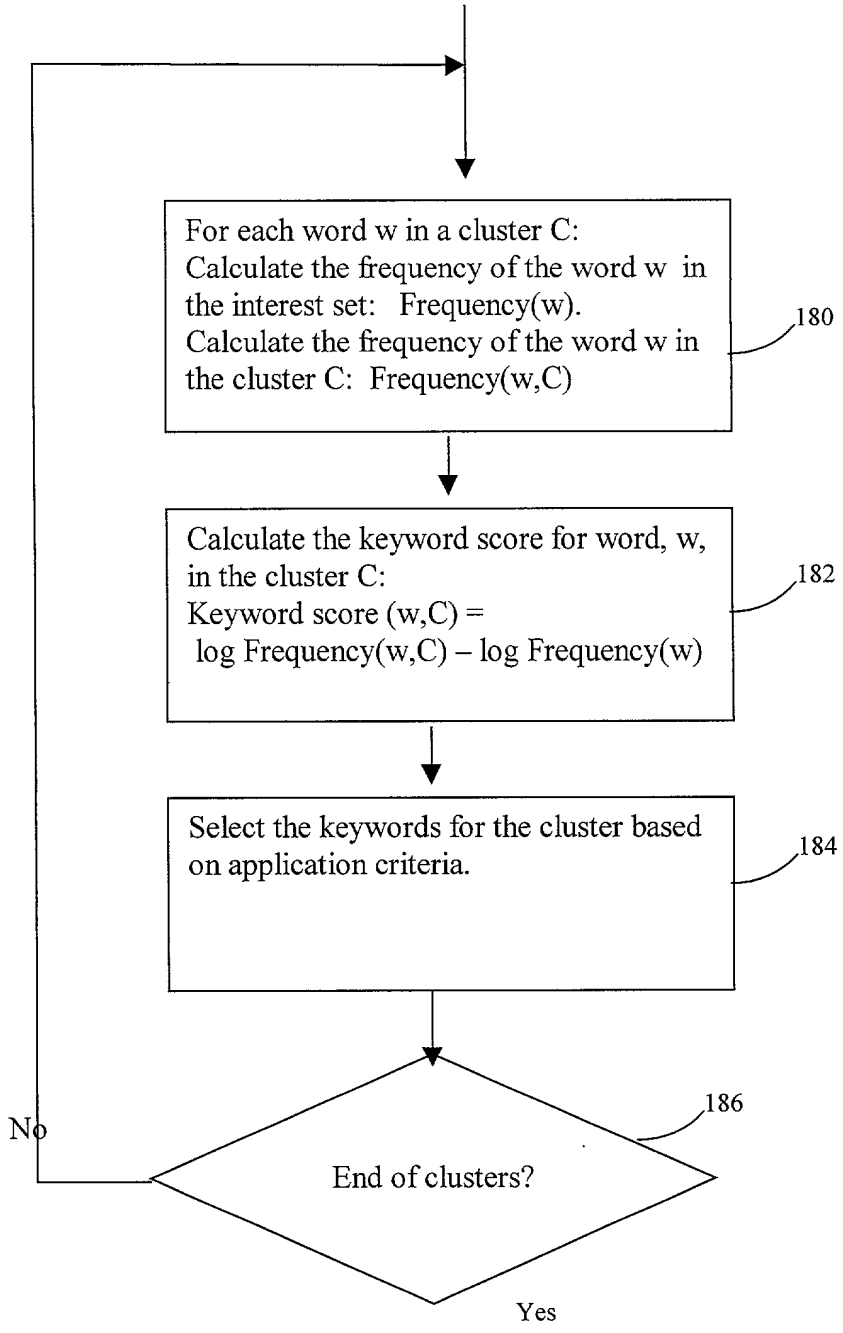

For each word w in a cluster C:
Calculate the frequency of the word w in the interest set: Frequency(w).
Calculate the frequency of the word w in the cluster C: Frequency(w,C)
180
Calculate the keyword score for word, w, in the cluster C:
Keyword score (w,C) =
log Frequency(w,C) – log Frequency(w)
182
Select the keywords for the cluster based on application criteria.
184
186
End of clusters?
No
Yes

FIGURE 8

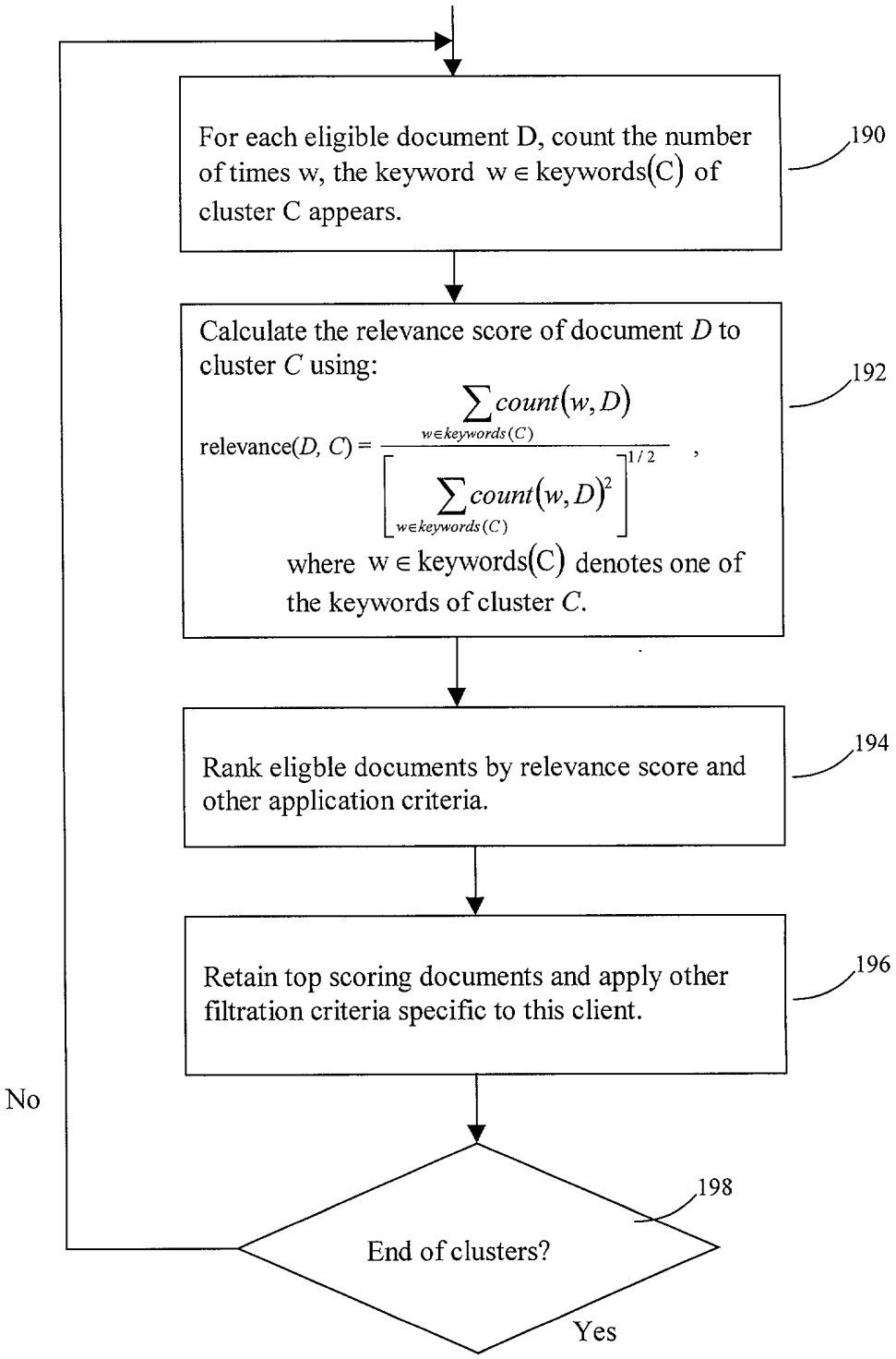

For each eligible document D, count the number of times w, the keyword w ∈ keywords(C) of cluster C appears.
190
Calculate the relevance score of document D to cluster C using:
relevance(D, C) = $\frac{\sum_{w \in keywords(C)} count(w, D)}{\left[\sum_{w \in keywords(C)} count(w, D)^2\right]^{1/2}}$,
where w ∈ keywords(C) denotes one of the keywords of cluster C.
192
Rank eligble documents by relevance score and other application criteria.
194
Retain top scoring documents and apply other filtration criteria specific to this client.
196
No
End of clusters?
198
Yes

FIGURE 9

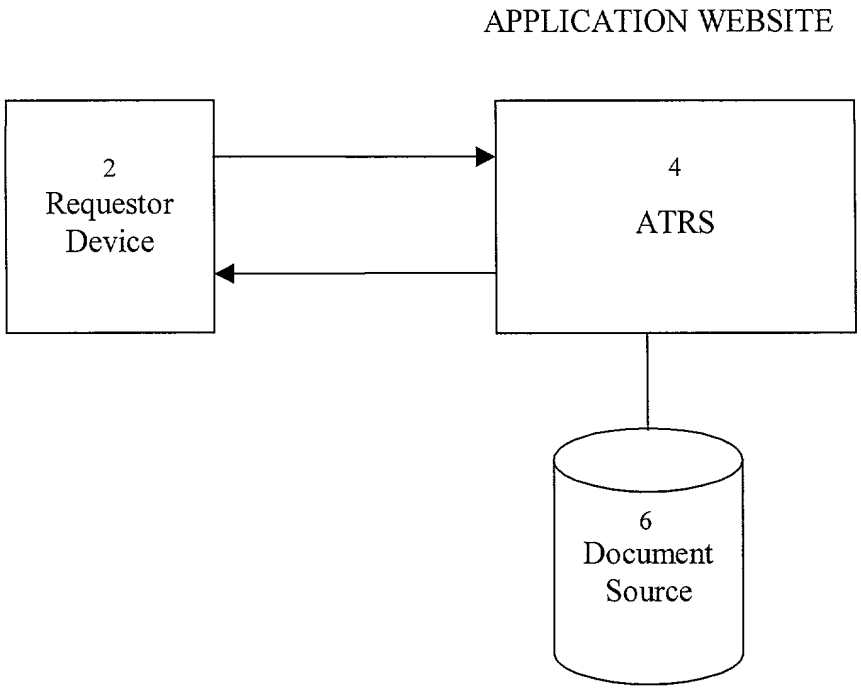


FIGURE 10A

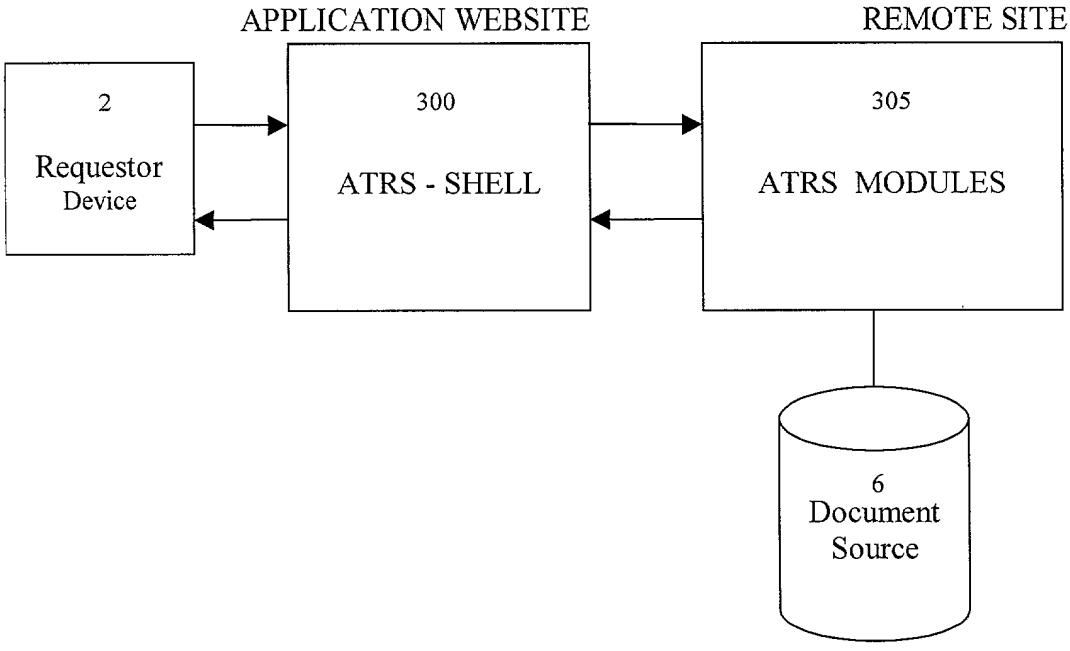


FIGURE 10B

UNITED STATES OUTSIDE OF THE UNITED STATES

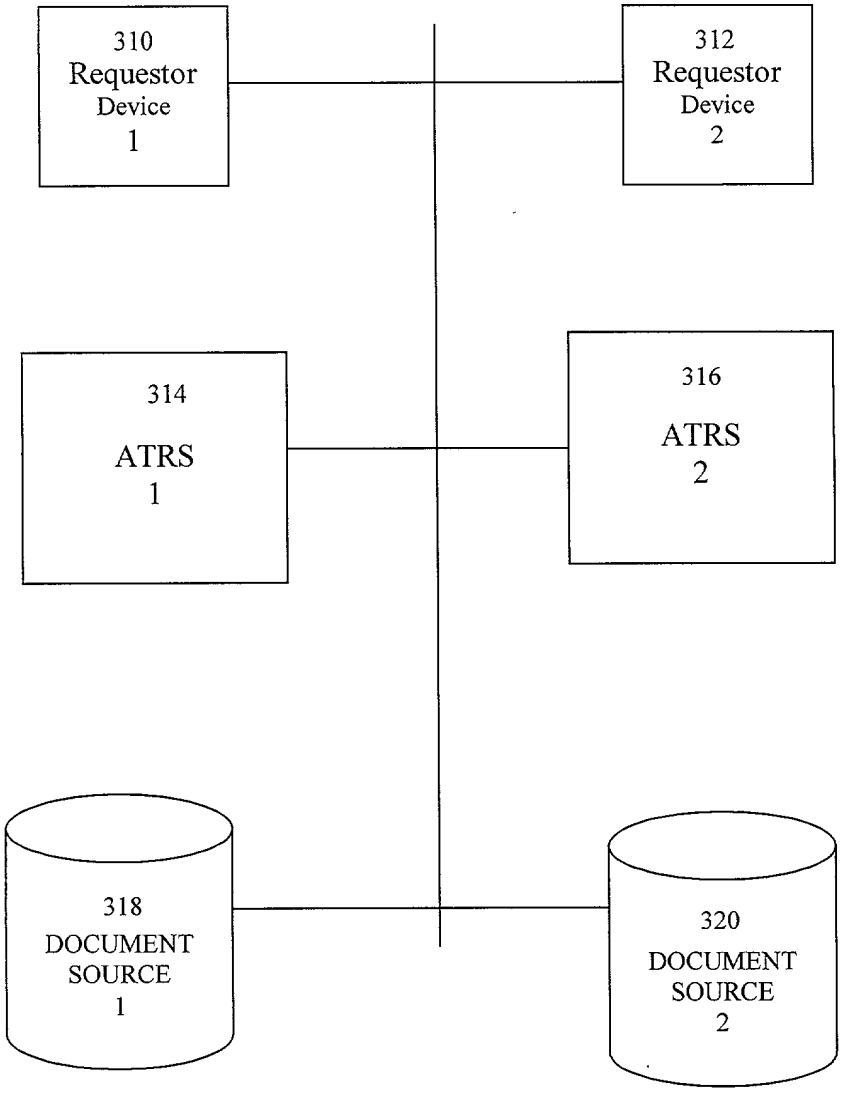


FIGURE 11

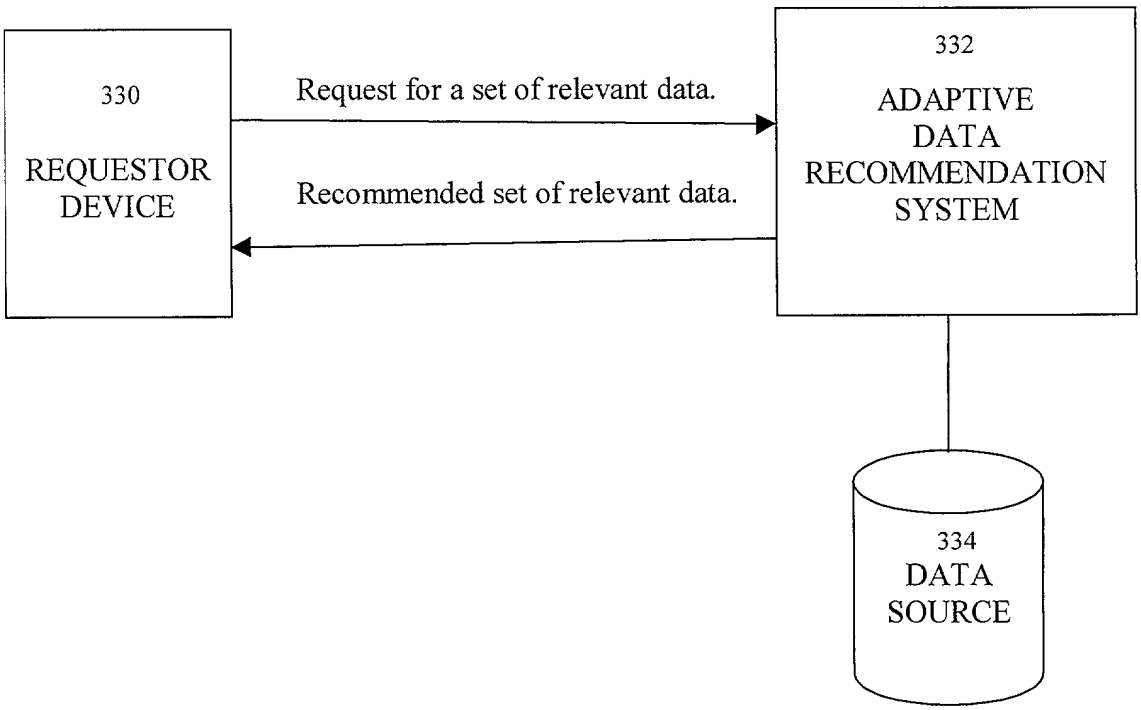

330
REQUESTOR DEVICE
Request for a set of relevant data.
Recommended set of relevant data.
332
ADAPTIVE DATA RECOMMENDATION SYSTEM
334
DATA SOURCE

FIGURE 12

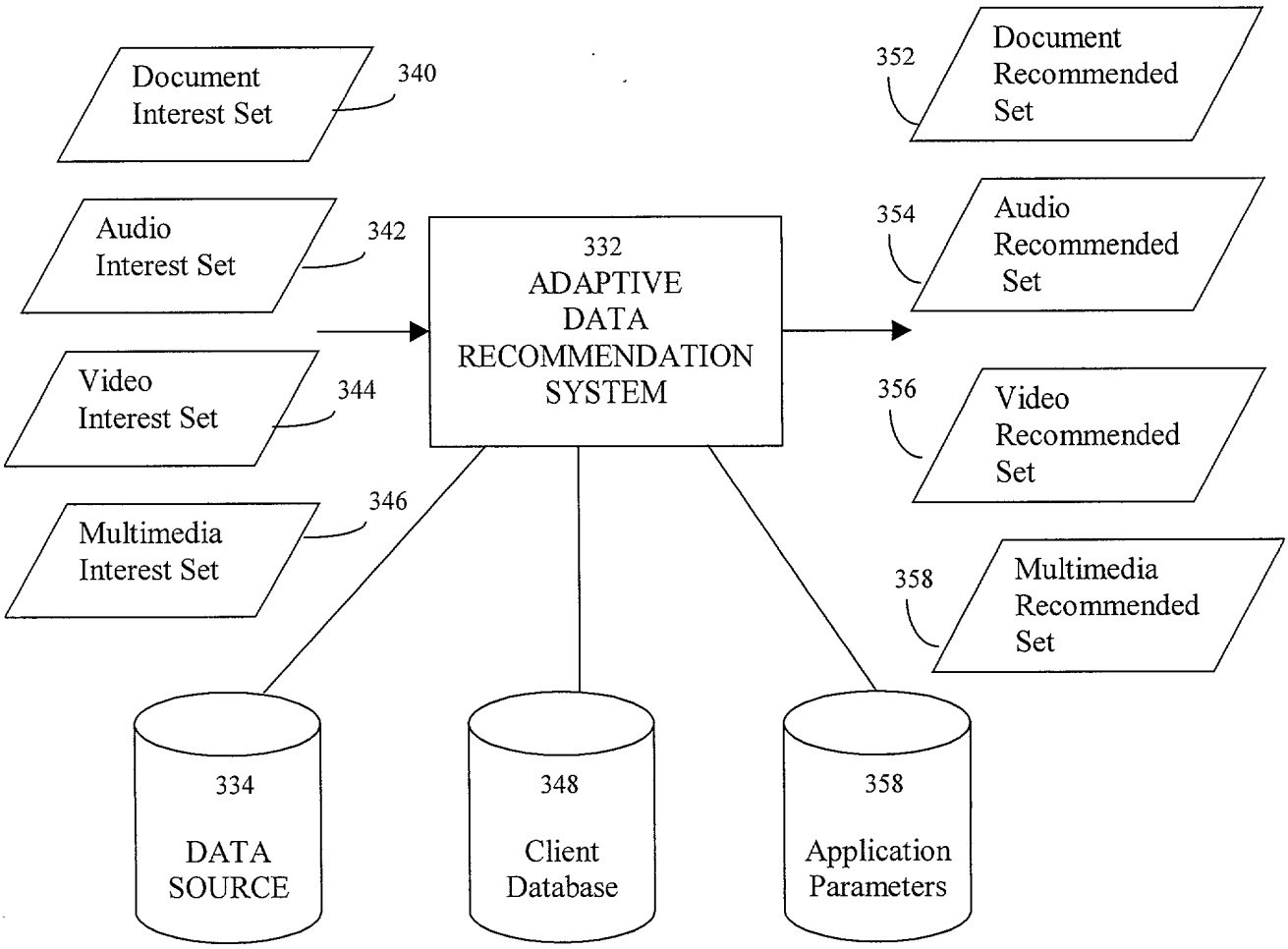

Document Interest Set
340
Audio Interest Set
342
Video Interest Set
344
Multimedia Interest Set
346
332
ADAPTIVE DATA RECOMMENDATION SYSTEM
352
Document Recommended Set
354
Audio Recommended Set
356
Video Recommended Set
358
Multimedia Recommended Set
334
DATA SOURCE
348
Client Database
358
Application Parameters

FIGURE 13

Docket No: **DYNA-P005**

DECLARATION AND POWER OF ATTORNEY

As a below named inventor, I hereby declare that:

My residence, postal address and citizenship are as stated below next to my name.

I believe that I am the original, first and sole inventor (if only one name is listed below) or an original first and joint inventor (if multiple names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

SYSTEM AND METHOD FOR ADAPTIVE TEXT RECOMMENDATION

the specification of which is attached hereto unless the following information is indicated:

_____ was filed on _____;
as United States Application Number or PCT International Application Number _____;
and was amended on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendments referred to above.

I acknowledge the duty to disclose information that is material to patentability as defined in 37 CFR 1.56.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified, as so indicated below, any foreign application for patent or inventor's certificate, or PCT International application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)			Priority Claimed
_____	_____	_____	___ Yes ___ No
(Application No.)	(Country)	(Day/Month/Year Filed)	

I hereby claim the benefit under 35 U.S.C. 119(e) of any United States provisional application(s) listed below.

_____	_____
(Application No.)	(Day/Month/Year Filed)

I hereby claim the benefit under 35 U.S.C. 120 of any United States application(s), or 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. 112, I acknowledge the duty to disclose information that is material to patentability as defined in 37 C.F.R. 1.56 that became available between the filing date of the prior application and the national or PCT International filing date of this application.

_____	_____	_____
(Application No.)	(Day/Month/Year Filed)	(Status - patented, pending, abandoned)

I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and to transact all business in the United States Patent and Trademark Office connected therewith:

DENNIS S. FERNANDEZ, REG. NO. *34,160*
PETER C. SU, REG. NO. *43,939*

Application No.: (Not yet assigned)

Send Correspondence and Communications to:

FERNANDEZ & ASSOCIATES, LLP
PATENT ATTORNEYS
PO BOX D
MENLO PARK, CA 94026-6204

22877
PATENT TRADEMARK OFFICE

(650) 325-4999
(650) 325-1203 : FAX
EMAIL: *iploft@iploft.com*

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and beliefs are believed to be true; and further that these statements were made with knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor: **Jonathan James Oliver**
Inventor's signature Jonathan Oliver Date 11/22/2000
Residence: **1123 Meredith Ave, San Jose, CA 95125**
Citizenship: **Australia**
Postal Address: **Same as residence**

Full name of sole or first inventor: **Wray Lindsay Buntine**
Inventor's signature Date 11/22/2000
Residence: **1126 Oxford Street, Berkley, CA 94707**
Citizenship: **United States of America**
Postal Address: **Same as residence**

Full name of sole or first inventor: **George Roumeliotis**
Inventor's signature Date 11/22/2000
Residence: **1048 Berkeley Avenue, Menlo Park, CA 94025**
Citizenship: **Australia**
Postal Address: **Same as residence**